

Form PTO-1449 (Substitute)	U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	Attorney Docket Number <del>KLYC 1000 SRM</del> KLYC 1000 SRM	Serial/Patent Number <del>08778,093</del> 097684,017
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> <small>(Use several sheets if necessary)</small>		Applicant/Patent Owner James F. Zucherman, et al.	
		Filing/Issue Date <del>January 2, 1997</del> 10/5/00	Group Art Unit <del>3309</del> 3731

PC542 U.S. PTO  
 09/09/01  
 10/05/00

**U.S. PATENT DOCUMENTS**

Examiner Initial	Document Number	Date	Name	Class	Subclass	Filing Date
<div style="font-size: 2em; transform: rotate(-90deg); position: absolute; left: -20px; top: 50%;">           9/1/00 ↓         </div>	1	5,092,866	03/03/1992	Breard et al.		
	2	5,180,381	01/19/1993	Aust et al.		
	3	5,387,213	02/07/1995	Breard et al.		
	4	5,395,372	03/07/1995	Holt et al.		
	5	5,415,661	05/16/1995	Holmes		
	6	5,645,599	07/08/1997	Samani		

**FOREIGN PATENT DOCUMENTS**

Examiner Initial	Document Number	Date	Country	Class	Subclass	Translation Yes   No

**OTHER DOCUMENTS (Include Author, Title, Date, Pertinent pages, etc.)**


Examiner <u>Julian M. Wood</u>	Date Considered <u>7-15-02</u>
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**\*EXAMINER:** Initial if citation considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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Form PTO-1449  
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U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICE

Attorney Docket Number  
KLYC 1000 SRM

Serial/Patent Number  
08/778,093

**INFORMATION DISCLOSURE STATEMENT  
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(Use several sheets if necessary)

Applicant/Patent Owner  
James F. Zucherman, et al.

Filing/Issue Date  
~~January 2, 1997~~ 10/5/00

Group Art Unit  
3309 3731

3542 U.S. PTO  
09/684017  
10/05/00

**U.S. PATENT DOCUMENTS**

Examiner Initial	Document Number	Date	Name	Class	Subclass	Filing Date

**FOREIGN PATENT DOCUMENTS**

Examiner Initial	Document Number	Date	Country	Class	Subclass	Translation Yes   No

**OTHER DOCUMENTS (Include Author, Title, Date, Pertinent pages, etc.)**

1	<i>Preliminary Design and Experimental Studies of a Novel Soft Implant for Correcting Sagittal Plane Instability in the Lumbar Spine, R.J. Minns and W.K. Walsh, SPINE, Volume 22, Number 16, pp. 1819-1825, 1997.</i>

Examiner *John M. Mos*

Date Considered 7-15-02

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Form PTO-1449 (Substitute)	U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	Attorney Docket Number KLYC 1000-DIV-1 SRM	Serial/Patent Number 09/684017 <del>09/018-179-754</del>
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> (Use several sheets if necessary)		Applicant/Patent Owner James F. Zucherman, et al.	
		Filing/Issue Date February 5, 1998 10/5/00	Group Art Unit 3228-3731

U.S. PATENT DOCUMENTS

Examiner Initial	Document Number	Date	Name	Class	Subclass	Filing Date
JMM	5,458,641	10/17/1995	Ramirez Jimenez			
JMM	5,540,689	07/30/1996	Sanders et al.			
JMM	5,702,455	12/30/1997	Saggar			

FOREIGN PATENT DOCUMENTS

Examiner Initial	Document Number	Date	Country	Class	Subclass	Translation Yes   No

OTHER DOCUMENTS (Include Author, Title, Date, Pertinent pages, etc.)

JMM	4	PCT Written Opinion for Int'l App. No. PCT/US98/22709, Int'l Filing Date--27 October 1998, mailed 13 January 1999 [Atty Docket No. KLYC 1000-CIP-1-CIP-1 (WO)]
JMM	5	PCT Written Opinion for Int'l App. No. PCT/US98/22285, Int'l Filing Date--21 October 1998, mailed 14 January 1999 [Atty Docket No. KLYC 1000-CIP-1-CIP-1 (WO)]

Examiner <i>John W. Not</i>	Date Considered 7-15-02
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U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICE

Attorney Docket Number  
KLYC 1000 SRM

Serial/Patent Number  
08/778,993  
09/684017

**INFORMATION DISCLOSURE STATEMENT  
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Applicant/Patent Owner  
James F. Zucherman, et al.

Filing/Issue Date  
January 2, 1997 10/5/00

Group Art Unit  
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3542 U.S. PTO  
09/684017



**U.S. PATENT DOCUMENTS**

Examiner Initial	Document Number	Date	Name	Class	Subclass	Filing Date

**FOREIGN PATENT DOCUMENTS**

Examiner Initial	Document Number	Date	Country	Class	Subclass	Translation Yes No
JMM	1 DE 31 13 142 A1	14.01.82	German	3	7	
	2 SU 1484348 A1	07.06.89	Soviet Union			
	3 WO 91/16018	31.10.1991	PCT			
	4 FR 2 681 525-A1	26.03.93	France			

**OTHER DOCUMENTS (Include Author, Title, Date, Pertinent pages, etc.)**


Examiner John M. Moo

Date Considered 7-15-02

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#4

Sheet 1 of 1

Form PTO-1449 (Substitute)	U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	Attorney Docket Number KLYC1000USN SRM	Serial/Patent Number 09/684,017
		Applicant/Patent Owner Zucherman, et al.	
		Filing/Issue Date October 5, 2000	Group Art Unit 3731

**INFORMATION DISCLOSURE STATEMENT  
BY APPLICANT**  
(Use several sheets if necessary)

**U.S. PATENTS**

Examiner Initial	Patent Number	Issue Date	Inventor	Class	Subclass	Filing Date
JMW	6,022,376	2/8/00	Assell et al.	623	17	
	5,976,186	11/2/99	Bao et al.	623	17	
	5,865,846	2/2/00	Bryan et al.	623	17	
	5,725,582	3/10/98	Bevan et al.	623	17	
	5,645,597	7/8/97	Krapiva	623	17	
	5,549,679	8/27/96	Kuslich	623	17	
	5,534,028	7/9/96	Bao et al.	623	17	
	5,514,180	5/7/96	Heggeness	623	17	
	5,047,055	9/10/91	Bao et al.	623	17	
	4,969,888	11/13/90	Scholten et al.	606	94	
	5,035,716	7/30/91	Downey	623	17	

**U.S. PATENT PUBLICATIONS**

Examiner Initial	Patent Application Publication Number	Publication Date	Applicant



## PENDING U.S. PATENT APPLICATIONS

Examiner Initial		Application Number	Filing Date	Inventor	Petition to Expunge? Yes   No

## FOREIGN PATENT DOCUMENTS

Examiner Initial		Document Number	Publication Date	Country	Class	Subclass	Translation Yes   No

## OTHER DOCUMENTS (Include author (if any), title, publisher and place of publication, date and pertinent pages)


Examiner

*Julian M. Woo*

Date Considered

*7-15-02*

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#8  
Sheet 1 of 1  
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Form PTO-1449 (Substitute)	U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	Attorney Docket Number KLYC-01000USN	Serial/Patent Number 09/684,017
		Applicant/Patent Owner Zucherman et al.	
		Filing/Issue Date January 8, 2001	Group Art Unit 3731

**INFORMATION DISCLOSURE STATEMENT  
BY APPLICANT**  
(Use several sheets if necessary)

**U.S. PATENTS**

Examiner Initial		Patent Number	Issue Date	First Named Inventor	Class	Subclass	Filing Date
<i>[Signature]</i>	1.	5,653,761	8/5/1997	Pisharodi			
<i>[Signature]</i>	2.	5,888,226	3/30/1999	Rogozinski			
<i>[Signature]</i>	3.	5,885,299	3/23/1999	Winslow			

Examiner Initial		Application Number	Filing Date	First Named Inventor	Petition to Expunge? Yes   No

**FOREIGN PATENT DOCUMENTS**

Examiner Initial		Document Number	Publication Date	Country	Class	Subclass	Translation Yes   No

\* English Abstract attached

**OTHER DOCUMENTS** (Include author (if any), title, publisher and place of publication, date and pertinent pages)


Examiner <i>Julian M. Woo</i>	Date Considered <i>7-15-02</i>
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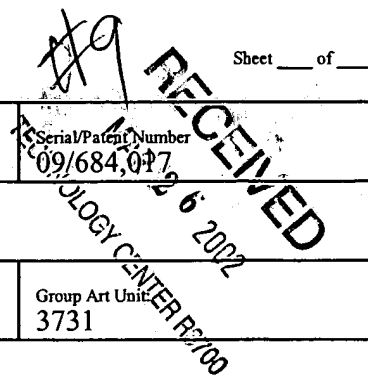


## U.S. PATENTS

Examiner Initial	Patent Number	Issue Date	First Named Inventor	Glass	Subclass	Filing Date
<i>[Signature]</i>	U26	5,167,662	Hayes et al.			
	U27	5,123,926	Pisharodi			
	U28	5,084,049	Asher et al.			
	U29	5,059,194	Michelson			
	U30	4,946,378	Hirayama et al.			
	U31	4,913,134	Luque			
	U32	4,696,290	Steffee			
	U33	4,685,447	Iversen et al.			
	U34	4,643,178	Nastari et al.			
	U35	4,611,582	Duff			
	U36	4,604,995	Stephens et al.			
	U37	4,599,086	Doty			
	U38	4,554,914	Kapp et al.			
	U39	4,369,769	Edwards			
	U40	3,875,595	Froning			
	U41	2,677,369	Knowles			

## FOREIGN PATENT DOCUMENTS

Examiner Initial	Document Number	Publication Date	Country	Class	Subclass	Translation
						Yes   No
<i>[Signature]</i>	F1	EP 1138268A1	EPO			*
	F2	FR 2806616 A1	France			*
	F3	FR 2806614 A1	France			*
	F4	WO 01/28442 A1	PCT			*
	F5	WO 00/04851	PCT			✓
	F6	WO 00/13620	PCT			✓
	F7	WO 00/13619	PCT			✓
	F8	FR 2782911 A1	France			✓
	F9	FR 2780269 A1	France			✓
	F10	WO 99/59669	PCT			✓



Form PTO-1449 (Substitute)	U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	Attorney Docket Number KLYC-01000USN SRM	Serial/Patent Number 09/684,017
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		Filing/Issue Date January 8, 2001	Group Art Unit 3731

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**U.S. PATENTS**

Examiner Initial		Patent Number	Issue Date	First Named Inventor	Class	Subclass	Filing Date
	U1	6,234,705 B1	5-2001	Troxel			
	U2	6,156,067	12-2000	Bryan et al.			
	U3	6,113,639	9-2000	Ray et al.			
	U4	6,001,130	12-1999	Bryan et al.			
	U5	5,888,224	3-1999	Beckers et al.			
	U6	5,824,098	10-1998	Stein			
	U7	5,766,252	6-1998	Henry et al.			
	U8	5,676,702	10-1997	Ratron			
	U9	5,674,296	10-1997	Bryan et al.			
	U10	5,674,295	10-1997	Ray et al.			
	U11	5,609,634	3-1997	Voydeville			
	U12	5,593,409	1-1997	Michelson			
	U13	5,562,736	10-1996	Ray et al.			
	U14	5,534,029	7-1996	Shima			
	U15	5,505,732	4-1996	Michelson			
	U16	5,470,333	11-1995	Ray			
	U17	5,458,643	10-1995	Oka et al.			
	U18	5,458,638	10-1995	Kuslich et al.			
	U19	5,443,514	8-1995	Steffee			
	U20	5,390,683	2-1995	Pisharodi			
	U21	5,352,225	10-1994	Yuan et al.			
	U22	5,306,309	4-1994	Wagner et al.			
	U23	5,304,178	4-1994	Stahurski			
	U24	5,290,312	3-1994	Kojimoto et al.			
	U25	5,192,327	3-1993	Brantigan			



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Examiner Initial		Document Number	Publication Date	Country	Class	Subclass	Translation	
							Yes	No
JMM	F11	WO 99/42051	8-1999	PCT			*	
	F12	WO 99/40866	8-1999	PCT			*	
	F13	WO 99/26562	6-1999	PCT			*	
	F14	WO 98/48717	11-1998	PCT			*	
	F15	EP 0767636 B1	4-1997	EPO			*	
	F16	FR 2722980 A1	2-1996	France			*	
	F17	EP 0677277 A2	10-1995	EPO			*	
	F18	FR 2717675	9-1995	France			*	
	F19	FR 2707864 A1	1-1995	France			*	
	F20	WO 94/26192	11-1994	PCT			*	
	F21	WO 94/21185	9-1994	PCT			✓	
	F22	EP 146347 A1	12-1984	EPO			*	
	F23	EP 140790 A2	10-1984	EPO			*	

\* English Abstract attached

OTHER DOCUMENTS (Include author (if any), title, publisher and place of publication, date and pertinent pages)

01	Waldemar Link, brochure entitled <i>Wirbelsäulen-Chirurgie: Instrumentarium Und Implantate Zur Wirbelsäulen-Chirurgie</i> (Spinal Surgery: Instrumentation and Implants for Spinal Surgery), Waldemar Link, Hamburg, Germany
Examiner	JMM
Date Considered	7-15-02

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